Fee Transmittal Form

Amendment / Response

After Final

Extension of Time Request

Certified Copy of Priority Document(s)

Response to Missing Parts/ Incomplete Application

Affidavits/declaration(s)

**Express Abandonment Request** 

Information Disclosure Statement

Response to Missing Parts under 37 CFR 1.52 or 1.53

Fee Attached

Approved for use through 10/31/2002 OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a value OMB control number.

TRANSMITTAL FORM	Application No.	09/843,397		,CX
	Filing Date	April 26, 2001	( - 10 p	``
(to be used for all correspondence after initial filing)	First Named Inventor	Thomas W. Mossberg	OA	رد
	Group Art Unit	3633	7	D

Total Number of Pages in This Submission

			Examiner Name	Not	Yet Assigned
Submission 7 Attorney Docket Num				545	5P001X
ENCLO	SURI	ES (chec	k all that apply)		
		Assignmen (for an App	t Papers lication)		After Allowance Communication to Group
		Drawing(s)			Appeal Communication to Board of Appeals and Interferences
		Licensing-r	elated Papers		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief,
s)		Petition			Proprietary Information
		Petition to ( Provisional			Status Letter
est		Power of A Change of	ttorney, Revocation Correspondence Address	⊠	Other Enclosure(s) (please identify below):
nent		Terminal D	isclaimer		-Copiesof 9 cited references -Check for \$180.00 for fees
		Request for	Refund		-Return Receipt Postcard
		CD, Numbe	er of CD(s)		
	Rem	narks			RECEIVED
					NOV 1 4 2002

**GROUP 3600** 

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Gregory D. Caldwell, Reg. No. 39,926 Individual name BLAKELY, SOKOLØFF, TAYLOR & ZAFMAN LLP Signature November 7, 2002 Date

## **CERTIFICATE OF MAILING/TRANSMISSION**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: November 7, 2002

Typed or printed name Juli L. Johnstone Signature Date November 7, 2002

Burden Hour Statement: This form is estimated to take 0.9 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/17 (10-02)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FFF TRANSMITTAL	Complete if Known				
EE TRANSMITTAL	Application Number	09/843,597			
for FY 2003	Filing Date	April 26, 2001			
Patent fees are subject to annual revision.	First Named Inventor	Thomas W. Mossberg			
Applicant claims small entity status. See 37 CFR 1.27.	Examiner Name	Not Yet Assigned			
TOTAL AMOUNT OF PAYMENT (\$) 180.00	Group/Art Unit Attorney Docket No.	3633 5455P001X			

METHOD OF PAYMENT (check one)	Ī			FEI	E CALCULATION (continued)
	3. A	DDITIO	ΝΔΙ		· · · · · · · · · · · · · · · · · · ·
Check ☐ Credit card ☐ Money ☐ Other ☐ None	° '		IIAL		5
☐ Deposit Account	Large	Entity	Sma	I Entity	<u>'</u>
Deposit -	Fee Code	Fee (\$)	Fee Code	Fee (\$)	- For Description - For Bala
Deposit Account 02-2666			-	(4)	Fee Description Fee Paid
Number	1051 1052	130 50	2051 2052	65 25	Surcharge - late filing fee or oath Surcharge - late provisional filing fee or
Account Blakely, Sokoloff, Taylor & Zafman LLP	1032	30	2032	25	cover sheet.
Name Blakery, Sokoloff, Taylof & Zafffaff LEf	2053	130	2053	130	Non-English specification
The Commissioner is authorized to: ( check all that apply)	1812	2,520	1812	2,520	For filing a request for ex parte reexamination
Charge fee(s) indicated below Credit any overpayments	1804	920 *	1804	920 1	* Requesting publication of SIR prior to Examiner action
Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20		4.040*		1 040 1	
	1805	1,840*	1805	1,840	Requesting publication of SIR after Examiner action
Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account	1251	110	2251	55	Extension for reply within first month
FEE CALCULATION	1252	400	2252	200	Extension for reply within second month
1. BASIC FILING FEE	1252	920	2252	460	Examiner action  Extension for reply within first month  Extension for reply within second month  Extension for reply within third month  Extension for reply within fourth month  Extension for reply within fifth month  Notice of Appeal  Filing a brief in support of an appeal
Large Entity Small Entity	1254	1,440	2254	720	Extension for reply within fourth month
Fee Fee Fee Fee Description Fee Paid			2254	980	Extension for reply within fifth month  Extension for reply within fifth month
Code (\$) Code (\$)	1255	1,960	l		Nation of Assess
1001 740 2001 370 Utility filing fee	1404	320	2401	160	Notice of Appeal
1002 330 2002 165 Design filing fee	1402	320	2402	160	
1003 510 2003 255 Plant filing fee	1403	280	2403	140	Request for oral hearing
1004 740 2004 370 Reissue filing fee	1451	1,510	2451	1,510	Petition to institute a public use proceeding
1005 160 2005 80 Provisional filing fee	1452	110	2452	55	Petition to revive - unavoidable Petition to revive - unintentional  RECEIV
SUBTOTAL (1) (\$)	1453	1,280	2453	640	
	1501	1,280	2501	640	Utility issue fee (or reissue)  NOV 1 4 2
2. EXTRA CLAIM FEES <sub>Extra</sub> Fee from	1502	460	2502	230	Design issue lee
Claims below Fee Paid Total Claims	1503	620	2503	310	Plant issue fee Petitions to the Commissioner  Petitions to the Commissioner
Independent 20 = X	1460	130	2460	130	<b>U U</b>
Claims X Z	1807	50	1807	50	Processing fee under 37 CFR 1.17(q)
Multiple Dependent	1806	180	1806	180	Submission of Information Disclosure Stmt
Large Entity Small Entity	8021	40	8021	40	Recording each patent assignment per
Fee Fee Fee Fee Fee Description Code (\$) Code (\$)					property (times number of properties)
	1809	740	1809	370	Filing a submission after final rejection (37 CFR § 1.129(a))
1202 18 2202 9 Claims in excess of 20	1810	740	2810	370	For each additional invention to be
1201 84 2201 42 Independent claims in excess of 3  1203 280 2203 140 Multiple Dependent claim, if not paid		. 40	2010	5,0	examined (37 CFR § 1.129(b))
1203 280 2203 140 Multiple Dependent claim, if not paid 1204 84 2204 42 "Reissue independent claims over	1801	740	2801	370	Request for Continued Examination (RCE)
original patent	1802	900	1802	900	Request for expedited examination
1205 18 2205 9 **Reissue claims in excess of 20 and over	Other fe	e (specify)	l		of a design application
original patent					
SUBTOTAL (2) (\$)					
**or number previously paid, if greater, For Reissues, see below	*Reduced	by Basic Fili	ng Fee Pa	id	SUBTOTAL (3) (\$) 180.00
SUBMITTED BY	Ļ <u> </u>				Complete (if applicable)

stration No. (503) 684-6200 Name (Print/Type) Gregory D. Caldwell 39,926 Telephone 11/07/02 Signature

WARNING: Information on this form hay become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.

#6 83

Docket No.: 5455P001X

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re the Application of:

THOMAS W. MOSSBERG

Application No.: 09/843,597

Filed: April 26, 2001

For: HOLOGRAPHIC SPECTRAL FILTER

Art Group: 3633

Examiner: Not Yet Assigned

RECEIVED

NOV 1 4 2002

**GROUP 3600** 

## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Copies of the references cited on PTO/SB/08 are enclosed herewith.

11/13/E002 NMOHAMM1 00000167 09843597

01 70:1008

180.00 DP

The references were cited in a Search Report dated August 22, 2002 (copy enclosed herewith) from a foreign patent office in a counterpart PCT application.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: November 07, 2002

Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Blvd., 7th Floor Los Angeles, California 90025 (503) 684-6200

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

Nevember\_07, 2002\_

1-07-02

Date

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Substitute for form 1449A/PTO
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet | 1 | of | 2

Complete if Known				
Application Number	097843,597			
Filing Date	April 26, 2001			
First Named Inventor	Thomas W. Mossberg			
Group Art Unit	3633			
Examiner Name	Not Yet Assigned			
Attorney Docket Number	5455P001X			

				U.S. PATENT DUCUMENTS	· · · · · · · · · · · · · · · · · · ·	
Examiner	Cite		t Document Kind Code <sup>2</sup>	Name of Patentee or Applicant	Date of Publication of Cited Document	Pages, Columns, Lines, Where Relevant
Initials*	No.'	Number	(if known)	of Cited Document	MM-DD-YYYY	Passages or Relevant Figures Appear
	I	4,440,468		Auracher, et al.	04-03-1984	
		<del> </del>			_	
				PA COLUMN A		
					RE	CEIVED
					<del></del>	NOV 1 4 2002
				7 -	GH	OUP 3600

Examiner	Cite		Foreign Patent Docu	iment	Name of Patentee or	Date of Publication of	Pages, Columns, Lines, Where Relevant	
Initials*	No.1	Office <sup>3</sup>	Number*	Kind Codes (if known)	Applicant of Cited Document	Cited Document MM-DD-YYYY	Passages or Relevant Figures Appear	Le
	2	GB	2 168 215	A	Sec. of State for Defence UK	06-11-1986		
	3	EP	0 310 438	A1	British Telecommunications	04-05-1989		
	4	WO	99/35523	A1	Templex Technology, Inc.	07-15-1999		
7	5	WO	99/56159	A 1	Templex Technology, Inc.	11-04-1999		
						4 - 31		
								1
	1	<del></del>						+-

Examiner	Date
Signature	Considered

'Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>4</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>4</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

2

**Sheet** 

PTO/SB/08B (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

2

of

钧	ubstitute for form 1449A/PTO
Į Į	NFORMATION DISCLOSURE
	NFORMATION DISCLOSURE STATEMENT BY APPLICANT

Complete if Known			
Application Number	09/843,597		
Filing Date	April 26, 2001		
First Named Inventor	Thomas W. Mossberg		
Group Art Unit	3633		
Examiner Name	Not Yet Assigned		
Attorney Docket Number	5455P001X		

		OTHER ART - NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No.'	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	
	<u>~</u>	SHOGO URA, ET AL., "Integrated Optic Wavelength Demultiplexer Using a Coplanar Grating Lens", Applied Optics, March 20, 1990, pp. 1369-1373, Vol. 29, No. 9, Optical Society-of-America, New-York, USA	
_	7	RAY T. CHEN, ET AL., "Ten Channel Single-Mode Wavelength Division Demultiplexer in Near IR", Integrated Optical Circuits, September 3, 1991, pp. 134-142, Vole 1583, The International-Societ-for-Optial-Engineering, Boston, Massachusetts, USA	
	8	W. R. BABBIT, ET AL., "Spatial Routing of Optical Beams Through Time-Domain Spatial-Spectral Filtering", Optics Letters, April 15, 1995, pp. 910-910, Vol. 20, No. 8, Optical-Society-of-America, USA	
	9	T. W. MOSSBERG, "Planar Holographic Optical Processing Devices", Optics Letters, April 1, 2001, pp. 414-416, Vol. 26, No. 7, Optical Society of America, USA	
		RECEIVED	
		NOV 1 4 2002	-
		GROUP 3600	
•			

Examiner	Date
Signature	Considered

**Examiner:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication

'Unique citation designation number. 'Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.